



RCE/2828

BOX RCE
PATENT
0717-0429P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: KAWANISHI, et al. Conf.: 9854
Appl. No.: 09/466,174 Group: 2828
Filed: December 17, 1999 Examiner: MENEFE
For: SEMICONDUCTOR LASER DEVICE WITH SPOT-
SIZE CONVERTER AND METHOD FOR
FABRICATING THE SAME

TECHNOLOGY CENTER 2800

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REQUEST FOR CONTINUED EXAMINATION
UNDER 37 C.F.R. § 1.114

BOX RCE
Assistant Commissioner for Patents
Washington, DC 20231

June 21, 2002

Sir:

This is a "Request for Continued Examination" under 37 C.F.R. § 1.114, the provisions of which do not apply to:

(1) A provisional application; (2) An application for a utility or plant patent filed under 35 U.S.C. 111(a) before June 8, 1995; (3) An international application filed under 35 U.S.C. §363 before June 8, 1995; (4) An application for a design patent; or (5) A patent under reexamination.

Submission of an RCE is limited to an application in which prosecution is closed; e.g. final rejection, Ex Parte Quayle; or notice of allowability

☒ This Request for Continued Examination is being filed prior to the earliest of:

(1) Payment of the issue fee, unless a petition under § 1.313 is granted; (2) Abandonment of the application; or (3) The filing of a notice of appeal to the U.S. Court of Appeals for the Federal Circuit under 35 U.S.C. § 141, or the commencement of civil action under 35 U.S.C. §§ 145 or 146, unless the appeal or civil action is terminated.

☐ The enclosed document is being transmitted via the Certificate of Mailing provisions of 37 C.F.R. § 1.8.

06/24/2002 YPOLITE1 00000054 09466174

01 FC:179

740.00 OP

06/24/2002 YPOLITE1 00000054 09466174

02 FC:115

110.00 OP

☐ The enclosed document is being transmitted via facsimile.

☒ **Submission Required under 37 C.F.R. § 1.114:**

Enter as part of the present submission:

☐ An After Final Amendment previously filed on _____, under 37 C.F.R. § 1.116 but unentered, in the present application.

☐ Arguments in the Appeal Brief or Reply Brief previously filed on _____.

☒ A Reply Under Rule 1.111, attached hereto. Claim fee(s) are calculated as set forth below:

	TOTAL NUMBER OF CLAIMS PREVIOUSLY PAID FOR	TOTAL NUMBER OF CLAIMS BEING FILED HEREWITH	<u>NUMBER EXTRA</u>	Large Entity		Small Entity	
				Rate	Fee	Rate	Fee
Total Claims	20	7	0	X 18	\$	X 9	\$
Independent Claims	3	1	0	X 84	\$	X 42	\$
TOTAL CLAIM FEE(S)						\$0.00	

☐ An Information Disclosure Statement (IDS) and PTO-1449 form(s) is/are attached hereto for the Examiner's consideration.

☐ Other:

☐ **Miscellaneous**

☐ Suspension of action on the above-identified application is requested under 37 C.F.R. § 1.103(c) for a period of () months. (Period of suspension shall not exceed 3 months.)

☒ **Fees**

The required fee under 37 C.F.R. § 1.17(e) as required by 37 C.F.R. § 1.114 when the RCE is filed, is enclosed herewith:

☐ \$370.00 - small entity

☒ \$740.00 - large entity

☒ The applicant(s) hereby petition(s) for an extension of one (1) month(s) pursuant to 37 C.F.R. §§ 1.17 and 1.136(a). The fee has been calculated as shown below:

☒ NO extensions of time have been previously obtained in the prior application. Thus, a fee of \$110.00 is required for the full period of the above-requested extension of time.

☐ An extension of () month(s) was previously requested and paid for on in the instant application. Thus, a fee of \$0.00 is required to obtain an additional () month(s) extension.

☐ The fee of \$130.00 under 37 C.F.R. § 1.17(i) for suspension of action is enclosed.

☒ Enclosed is(are) check(s) in the total amount of \$740.00 and \$110.00 for the applicable filing fee, additional claims fee, suspension fee, and/or extension fees.

☐ Please charge Deposit Account No. 02-2448 in the amount of \$0.00. A triplicate copy of this sheet is attached.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. §§1.16 or 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By 
Charles Gorenstein, #29,271

CG/CMV/lab
0717-0429P

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(703) 205-8000

Attachments



PATENT
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IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: Hidenori KAWANISHI et al. Conf No.: 9854
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CONVERTER AND METHOD FOR FABRICATING THE
SAME

#79/c
Amrda
Jimminan
6/29/02

REPLY

Assistant Commissioner of Patents
and Trademarks

June 21, 2002

Sir:

This is in Reply to the Office Action mailed February 21, 2002.

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AMENDMENT

IN THE CLAIMS:

Please cancel claims 3 and 12-15 drawn to a distinct invention without
prejudice or disclaimer of the subject matter therein.

Please amend the claims as follows:

1. (Twice Amended) A semiconductor laser device with a spot-size
converter, comprising:

a semiconductor substrate having a semiconductor laser region
and a semiconductor layer thereon.

the semiconductor layer is the spot-size converter, and the